

PTO/88/088 (09-06)

Approved for use through 03/31/2007. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	09/724,744
		Filing Date	11/28/00
		First Named Inventor	JOHN T. PIENKOS
		Art Unit	3625
		Examiner Name	JAMES ZURITA
Sheet 1 of 1	Attorney Docket Number		

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
JT	—	Letter From Joseph Lee Re Patent Services, Acacia Technologies Group, November 17, 2006, 2 pages.	
	—	web pages of Inflexion Point Strategy, obtained at www.ip-strategy.com/services.html, printed on 12/15/2006, 4 pages.	
	—	web pages of Altitude Capital Partners, obtained at www.altitudecp.com/value.html, printed on 12/15/2006, 5 pages.	
	—	"6E Real Estate Creates Strategic Capital Group", December 17, 2003, concerning 6E Strategic Capital Group, 4 pages.	
	—	"Brief of Altitude Capital Partners, Expense Networks, Inc., Inflexion Point Strategy, LLC, Interdigital Communications Corp., IPotential, LLC, Ocean Tomo, LLC and OnSpec Electronic Inc. as Amici Curiae in support of Respondents"	
October, 2006, cover sheet on pp. 1-4.			
Examiner Signature	James Zurita		Date Considered 6/18/07

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.88. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PAGE 48

1/22/01

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Agency Number: 07/724747 Filing Date: 11/28/2000 First Named Inventor: PIGNELO Group A# Unit: Inventor Name: Agency Contact Number:	
Sheet	1 of 1		

Examiner	Ref	OTHER REFERENCE - NON PATENT LITERATURE (CITATIONS)	TI
JZ	1	Copy of home page of The Patent & License Exchange, Inc., found at www.pl-x.com , dated 12/26/2000	
	2	Copy of home page of the Patent Cafe, found at www.patentcafe.com , dated 12/26/2000	
	3	Copy of home page of yet2.com, found at www.yet2.com , dated 12/26/2000	
	4	Copy of home page of DaVinci-Online, found at www.davinci-online.com , dated 12/26/2000	
	5	Copy of home page of the Hook Appropriate Technology, found at www.thehooktek.com , dated 12/26/2000	
	6	Copy of home page of TTE/Newfrontiers, found at www.newfrontiers.com , dated 12/27/2000	
	7	Copy of home page of the Delphion Intellectual Property Network (formerly the IBM Intellectual Property Network), found at www.delphion.com , dated 12/26/2000	
	8	Copy of home page of the U.S. Patent and Trademark Office, found at www.uspto.gov , dated 12/26/2000	
	9	Copy of home page of TechExchange Online, found at www.teonline.com , dated 1/12/2001	
	10	Copy of home page and additional web pages of IPNetwork.com, found at www.ipnetwork.com , dated 1/12/2001	
	11	"Using the Internet For Technology Transfer and Licensing", conference sponsored by Licensing Executives Society, Crystal City, VA, April 15-16, 1998	

Examiner	James J. Jurek	Date	6/18/07
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2/20/07

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	OR / FSI / FBI
FBI Form		Print Name of Applicant	P. JAMES
Group Affiliation		Country Name	
Agency Code Number			

Page 1 of 1

[illegible]

Executive Signature	<i>James L. White</i>	Date Completed	6/18/07
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THE ABOVE is a true and correct copy of the original as shown to the undersigned by the person or persons who claim to be the owner or owners of the same.

^a Underline edition identification number. ^b Applicant is to place a check mark here if English language Translation is needed.

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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number 09/724,744
Filing Date 11/28/2000
First named inventor TIEH KUN
Group Art Unit
Examiner Name
Attorney Docket Number

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issues number(s), publisher, city and/or country where published.	T ¹
✓	1	Copies of web pages of LPS Group, found at www.informationholdings.com/lps/, dated 7/25/01	
	2	Copies of web pages of Information Holdings Inc., found at www.corporateintelligence.com, dated 7/25/01	
	3	Copy of web page of MicroPatent, found at www.micropat.com/, dated 7/25/01	
	4	Copy of web page of PATEX, found at www.patex.com, dated 7/25/01	
	5	Copy of web pages of Patent Bank, found at www.patentbank.co.kr, dated 7/25/01	
	6	Harvard Business School Case Draft N9-600-150, "The Patent & License Exchange: Enabling a Global IP Marketplace", dated July 1, 2000	
✓	7	"From Labs to Riches", Peter J. Crank, The Legal Intelligencer, March 24, 1997	

Examiner Signature

James Zante

Date

Considered

6/18/07

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Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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Under the Privacy Protection Act of 1974, no person is required to respond to a request for information unless it contains a valid OMB control number.

Substitution for form 1442A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known Application Number <u>02/724,744</u> Filing Date <u>11/18/00</u> First Named Inventor <u>PIANKOS</u> Group Art Unit _____ Examiner Name _____ Attorney/Agent Number _____	
Sheet	<u>1</u>	of	<u>2</u>

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the owner (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, pamphlet, etc.), date, page(s), volume (no number(s)), publisher, city and/or country where published.	T ¹
✓	1	Brunsvold, Brian et al., Drafting Patent License Agreements, 4th ed. (1998), exemplary sections including Table of Contents (pp. v - xi), Chapters 1-3 (pp. 1 - 40) and Chapter 10 (pp. 91-116)	
	2	Copies of web pages of Ernst & Young, found at <u>www.ey.com</u> , dated 9/12/01	
	3	Copies of web pages of Inta Corp, Inc., found at <u>www.intacorp.com</u> , dated 9/12/01	
	4	"Getting More Revenue for Your Clients From Their Intellectual Property", presentation by Ted <u>Alvord</u> , Alliance Technology Service, Inc., 1998-99, including article "One Man Band", <u>The Business Journal</u> , 5/19/98	
	5	"Companies Cash in on 'Discarded' Patents", Technology Business, November/December 1997 (author Nancy <u>Cristi Rober</u>), reprinted by <u>Alliance Technology Service, Inc.</u>	
	6	"U.S. Companies Ignore More Than \$115 Billion in Technology Assets, Survey Finds", press release by <u>BTG</u> , June 22, 1998, reprinted by <u>Alliance Technology Service, Inc.</u>	
✓	7	"Japan Wants to 'Wake Up' Unused Patents", found at <u>www.wired.com</u> , dated 9/13/01 (author <u>Gene Koprowski</u> , article date 3/12/97)	

Examiner Signature	<u>James Zunta</u>	Date Considered	<u>6/18/07</u>
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NEW SECTION: Indicate if references are material, whether or not addition is to substantiate with evidence and provide the date and location of the reference and any consideration. Include copy of this form with each communication to applicant.

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Substitute for form 1442/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	09/724,744
		Filing Date	11/12/00
		First Named Inventor	PIENKOS
		Group Art Unit	
		Examiner Name	
Sheet 2 of 2	Attorney Contact Number		

Examiner Initials	Doc No.	OTHER PRIOR ART - RUN PATENT LITERATURE SEARCHES Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the book (book, magazine, journal, card, symposium, editing, etc.), date, page(s), volume(s) number(s), publisher, city and/or country where published.	T
JF	8	Additional copies of web pages of LPS Group, found at www.informationholding.com , dated 9/13/01, "Market Trends"	
	9	Copies of web pages of mycounsel.com , found at www.mycounsel.com , dated 9/13/01, "Requirements and Considerations when Licensing Your Patent"	
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Examiner Signature	James J. Munte	Date Considered	6/18/07
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1 Unique citation designation number. 2 Applicable to be placed a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	09/724,744
		Filing Date	11/28/00
		First Named Inventor	PIENKOS
		Art Unit	3625
		Examiner Name	NGUYEN, CUONG H.
Sheet 1 of 1	Attorney Doctet Number	—	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
JZ		Printout of web pages of website of maxiam LLC, obtained at www.maxiam.com, printed on 9/30/03, 15 pages.	
		Letter/Opinion of Department of Justice Antitrust Division concerning MPEG LA, Joel I. Klein, Acting Assistant Attorney General, dated June 26, 1997, 15 page printout obtained at www.usdoj.gov	
Examiner Signature	James Zunte		Date Considered 6/18/07

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PTO/SB/088 (08-03)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)	Complete If Known	
	Application Number	09/724,744
	Filing Date	November 28, 2000
	First Named Inventor	Pienkos, John T.
	Art Unit	3625
	Examiner Name	Nguyen, C.
1 of 1	Attorney/Agent/Representative	—

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published	P ²
✓		"PLX Announces Plans to Revolutionize \$3.5 Billion Patent Industry Through Global, Internet-Based Patent Auction Market", press release dated January 22, 1999, obtained at < http://www.eurekaalert.org/pub-releases/1999-01/FI-PAPT-220199.ppt , printed on 3/6/04, 2 pages.	

Examiner Signature	Date Considered
James Zurite	6/18/07

EXAMINER: Initial if reference considered, whether or not citation is in accordance with MPEP 609. Draw line through citation if not in accordance and not considered. Include copy of this form with next communication to applicant.

1. Applicant's unique citation designation number (optional). 2. Applicant is to place a check mark here if English language Translation is attached.

3. Collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including writing, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use on every sheet in sequence)		Application of Division Application Number 09/724,744 Filing Date 11/28/00 First Named Inventor PIENKOS, JOHN T. Art Unit 3625 Examiner Name NGUYEN, CUONG H. Attorney/Agent Number ---	
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Examiner Initials*	CRD No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the book (book, magazine, journal, serial, symposium, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	P
JZ	1	Documentation of Patent & License Exchange, 1999, 31 pages, including "The Patent & License Exchange FAQ JAGOP", "PL-X.COM SUBSCRIBER QUALIFICATIONS", "PL-X.COM SUBSCRIBER FEES AND SELLER'S COMMISSIONS", "PLX SUBSCRIBER APPLICATION FORM", & PLX INFORMATIONAL BROCHURE.	
	2	"HOUSE RULES" OF THE PATENT & LICENSE EXCHANGE, 8/25/00, 4 pages.	
	3	"AUTOMATIC PATENT VALIDITY INSURANCE", North American Specialty Insurance Co., 1999, 1 page.	
	4	"Are Patents Next for the Online Auction Block?", The Recorder, 5/20/99, 1 page.	
	5	Company Press Release, pl-x.com, 8/23/99, 2 pages.	
	6	"Creating an efficient technology market", Kossowsky et al., Chemtech, Dec. 1998, 3 pages.	
	7	Press Release of Swiss Re & Ernst & Young, 4/22/99 &	
	8	"An Internet 'Exchange' Aims to Accelerate Venture Capital Deal-Making", Venture Media, 8/22/99, 2 pages.	
Examiner Signature	James Hunt		Date Completed 6/18/07

* For USPTO: Initial if reference is made, whether or not citation is in conformity with MPEP 608. Draw this through citation if not in conformity and not made forced. Include copy of this form with next communication to applicant.
 * Applicant's unique division designation number (optional). 2. Applicant is to place a check mark here if English language Translation is attached.
 * Citation of information as required by 37 CFR 1.67 and 1.68. The information is required to attach or retain a benefit by the public which is to be (and by the PTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This citation is extended to 24 hours to complete.
 * Draw gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1469, Alexandria, VA 22313-1469. You must leave your telephone number in this area.
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PATENT

I hereby certify that this correspondence is being faxed to Examiner James Zurita at the U.S. Patent and Trademark Office at (571) 273-8300 on the following date: 9 18 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Pienkos, John T.
Serial No.: 09/724,744
Filed: November 28, 2000
For: METHOD AND SYSTEM FOR FACILITATING THE TRANSFER OF
INTELLECTUAL PROPERTY
Grp. Art Unit: 3625

SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

The Applicant recently received the enclosed documents and, although the Applicant suspects that the information in the documents are substantially duplicative of information previously submitted to the Patent Office in connection with the present Application, the Applicant in the interests of meeting the duty of disclosure nevertheless is submitting the documents herewith.

In particular, the enclosed documents are being submitted in the above-identified Application in compliance with 37 CFR 1.97(b), 1.98:

- ☐ (1) Pursuant to 37 CFR 1.97(b)
(within 3 months of filing or prior to mailing of 1st Office Action)
- ☒ (2) Certification Pursuant to 37 CFR 1.97(c)
(before Final Office Action or Allowance)
- ☐ (3) Fee Payment Pursuant to 37 CFR 1.97(c)
(before Final Office Action or Allowance)
- ☐ (4) Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97(d) (before issue fee payment)
- ☒ (5) A list of documents on Form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This paper is submitted in accordance with:

- ☐ (6) 37 CFR 1.97(b) (within 3 months of filing or prior to 1st Office Action)